

01/08/01  
JC961 U.S. PTO

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PTO/SB/05 (11-00)  
Approved for use through 10/31/2002 OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

First Inventor

Cung N. Phan

Title

A System And Method For Controlling Access To User Interface Elements

Express Mail Label No.

6531 U.S. PTO  
09/756591

01/08/01

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)

(Submit an original and a duplicate for fee processing)

2. ☒ Applicant claims small entity status.

See 37 CFR 1.27.

3. ☒ Specification [Total Pages 16]

(preferred arrangement set forth below)

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 8]

5. Oath or Declaration [Total Pages 2]

- a. ☒ Newly executed (original or copy)  
Copy from a prior application (37 CFR 1.63 (d))  
b. ☐ (for continuation/divisional with Box 18 completed)

i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)

- a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper  
c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))

10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney (when there is an assignee)

11. ☐ English Translation Document (if applicable)

12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations

13. ☐ Preliminary Amendment

14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)

15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)

16. ☒ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.

17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name: Cung N. Phan

Address: 5109-C2 East La Palma Avenue

City

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State

CA

Zip Code

92807

Country

USA

Telephone

(714) 701-1600

Fax

(714) 701-1605

Name (Print/Type)

Cung N. Phan

Registration No. (Attorney/Agent)

Signature

Date

01/05/2001

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 535.00)

## Complete if Known

Application Number	
Filing Date	
First Named Inventor	Cung N. Phan
Examiner Name	
Group Art Unit	
Attorney Docket No.	

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number	
Deposit Account Name	

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	355
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$ 355)

## 2. EXTRA CLAIM FEES

		Extra Claims		Fee from below	Fee Paid
Total Claims	11	-20** =	0	X	0
Independent Claims	2	-3** =	0	X	0
Multiple Dependent					0

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 0)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	180
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify) _____					
SUBTOTAL (3) (\$ 180)					

\*Reduced by Basic Filing Fee Paid

## SUBMITTED BY

Name (Print/Type)	CUNG N. PHAN	Registration No (Attorney/Agent)		Complete (if applicable)	
Signature		Telephone	(714) 701-1600	Date	01/05/2001

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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In The United States Patent And Trademark Office

Mailed: January 5, 2001

Box Patent Application  
Assistant Commissioner for Patents  
Washington, District of Columbia 20231



Sir:

Please file the following enclosed patent application papers:

Applicant Name: Cung N. Phan

Title: A SYSTEM AND METHOD FOR CONTROLLING ACCESS TO USER INTERFACE ELEMENTS.

- PTO Form SB/05 UTILITY PATENT APPLICATION TRANSMITTAL—1 pg.
- PTO Form SB/01 DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION—2 pgs.
- PTO Form SB/17 FEE TRANSMITTAL FOR FY 2001—1 pg.
- PTO Form SB/08 INFORMATION DISCLOSURE STATEMENT BY APPLICANT—2 pgs.
- PTO Form SB/35 REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)—1 pg.
- Specifications, Claims, and Abstract—16 pgs.
- Formal Drawings—8 pgs.
- Check #11677 for \$535.00, for:
  - \$355 for Basic Filing Fee (small entity), and
  - \$180 for Submission of Information Disclosure
- Proof of Receipt and Return Receipt Envelope Addressed to Applicant
- Applicant request under MPEP § 707.07(j): the undersigned, a pro se applicant, respectfully requests that if the Examiner finds patentable subject matter disclosed in this application, but feels that Applicant's present claims are not entirely suitable, the Examiner draft one or more allowable claims for Applicant.

Very respectfully,

Address (Send Correspondence Here):

Cung N. Phan  
Sales Management Systems, Inc.  
5109-C2 East La Palma Ave.  
Anaheim, CA 92807

Applicant Signature: Cung N. Phan

Express Mail Label #:

EL526227045US

Date of Deposit: January 5, 2001

Assistant Commissioner for Patents  
Washington, District of Columbia 20231

PROOF OF RECEIPT



The following received today: \_\_\_\_\_

Patent Application of **Cung N. Phan** for “**A System And Method For Controlling Access to User Interface Elements**,” consisting of:

- ☐ PTO Form SB/05 UTILITY PATENT APPLICATION TRANSMITTAL—1 pg.
- ☐ PTO Form SB/01 DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION—2 pgs.
- ☐ PTO Form SB/17 FEE TRANSMITTAL FOR FY 2001—1 pg.
- ☐ PTO Form SB/08 INFORMATION DISCLOSURE STATEMENT BY APPLICANT—2 pgs.
- ☐ PTO Form SB/35 REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)—1 pg.
- ☐ Specifications, Claims, and Abstract—16 pgs.
- ☐ Formal Drawings—8 pgs.
- ☐ Check #11677 for \$535.00

One copy each of:

- ☐ U.S. Patent No. 4,570,223
- ☐ U.S. Patent No. 4,651,279
  
- ☐ **PEACHTREE**, User's Guide for Peachtree Office Accounting, Release 6.0, Published by Peachtree Software Inc., 1998 (pgs. 501-507).

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**REQUEST AND CERTIFICATION  
UNDER  
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor **Cung N. Phan**

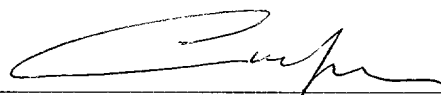
Title **A System And Method For Controlling Access To User Interface Elements**

Atty Docket Number

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

01/05/2001

Date



Signature

**Cung N. Phan**

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement. This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.